

	EMPLOYEE PERSONNEL FILES	Operations Order 4.5.00
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1. **PERSONNEL FILES** - Two types of personnel files will be maintained for each active Department employee:

A. Department Personnel File [Maintained in the Fiscal Management Bureau (FMB)]	The Department personnel file will be considered the official employee file and will contain items of a more permanent nature, such as: • Applicant, employment, and personal data • Bureau/precinct assignment record • Promotion record • Scheduled, unscheduled, and final probationary Performance Management Guides (PMGs) • Discipline Notices • Written Reprimands • Time Record Forms 80-42D
B. Division/Bureau/Precinct Personnel Files (Maintained in the employee's work unit)	The division/bureau/precinct file will be considered a working file and will contain information of a more temporary nature, such as: • Scheduled, unscheduled, and final probationary PMGs • Recruit training records • Duty-related Arizona Crash Reports (ACR) and related support documents • Copies of Discipline Notices • Copies of Written Reprimands • Any other information at the discretion of the division/bureau/precinct commander
NOTE: Employee medical information should not be placed in the above listed files.	

2. **ACCESS TO FILES**

- A. **Department Personnel File** - If it is necessary to obtain the Department personnel file of an employee or a former employee after normal business hours, the following procedures will be used.

(1) **Personnel Authorized to Enter Fiscal Management Bureau (FMB)**

- Entry may be made by officers of the rank of lieutenant or above.
- Entry to FMB offices during non-business hours may be made upon approval and in the presence of the duty commander or higher-ranking officer.

(2) **Removal of Department Personnel Files**

- If a file must be removed from the bureau office, a memorandum will be completed.
- The date, time, and file name and number will be documented.
- The memorandum will be placed in the IN basket on the desk in the file room.

B. **Division/Bureau/Precinct Personnel Files**

- Employees are, at their request and by appointment, permitted to examine their personnel file in the presence of an appropriate Department supervisor.
- Civilian employees are entitled to designate one person of their choosing (lawyer, union representative, friend, etc.) to accompany them while reviewing their file.

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3. ADVERSE INFORMATION IN EMPLOYEE FILES

- A. No employee shall have any adverse comments entered into his/her Department or division/bureau/precinct file unless the employee is informed by a supervisor.
 - Employees may, at their discretion, attach rebuttal statements to any material contained in their personnel file of an adverse nature.
- B. If an employee requests, a copy of the adverse comment may be given to the employee.
- C. Civilian employees shall be requested to date and sign such adverse material, not as an indication of agreement, but solely as evidence that they have been advised of its existence.

4. PURGING POLICY

- A. Refer to the following resources for information regarding employee file purging time limits:
 - (1) Appropriate Memorandum of Understanding (MOU)/Memorandum of Agreement (MOA)
 - Some employee contracts have specific language that discusses auto-purging policy.
 - (2) City and State retention schedules
- B. Department Personnel Files
 - (1) Employee Responsibilities:
 - Employees will review their Department personnel file in the presence of an FMB supervisor or designee to identify material desired to be purged.
 - Employees will then write a short memorandum to their immediate supervisor specifically identifying the material they want to be removed from their Department personnel file.
 - (2) Supervisor Responsibilities:
 - The supervisor will ensure the material in the memorandum meets the criteria for purging.
 - The memorandum will then be forwarded through the chain of command for final approval by the bureau/precinct commander/administrator.
 - FMB will return a memorandum to the requesting employee, through the bureau/precinct commander/administrator, stating the purge request has been processed successfully.
- C. Division/Bureau/Precinct Personnel files
 - Employee Responsibilities:
 - * Employees will review their file in the presence of a supervisor.
 - * Employees will remove the material they wish to have purged in the presence of a supervisor.
 - * Employees will write a short memorandum requesting the attached material be considered for purging.
- D. City Records Retention Schedule
 - (1) Performance Management Guides (PMGs)
 - (a) The City Human Resources (HR) Department will retain employee PMGs for 10 years in a separate file from the City personnel files.

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4. B. (1) (b) FMB retains employee evaluations/PMGs until:

- An eligible purge request is received.
- Five years after separation of employment with the Department, in which case, the file is destroyed.

(2) Discipline Notices

- The City HR Department and FMB retain these notices until:
 - * An eligible purge request is received.
 - * Five years after separation of employment with the Department, in which case, the file is destroyed.

(3) City Personnel/Department/Division Files

- (a) City personnel files are retained for five years after separation.
- (b) Department personnel files are retained by the Department at FMB for five years after separation.
- (c) Division/bureau/precinct personnel files are retained at the employee's current assignment location until forwarded to FMB upon the death, resignation, termination, transfer, or retirement of the employee.
 - Upon separation of employment, the division/bureau/precinct personnel file will be merged into the Department personnel file and purged or retained in accordance with the City Records Retention Schedule, unless the employee requests to take their file.

5. **SUPERVISOR NOTES**

A. Supervisor notes do not constitute file material unless they are entered into the Department or division/bureau/precinct files.

- Supervisor notes **will be** provided to the employee on a monthly basis for review and signature.
- Supervisor notes are considered a public record.
- These notes will be the property of the supervisor and may be retained in the supervisor's possession.
- In non-disciplinary matters, the term "coaching" will be used in lieu of counseling.
- Only notes for the current rating period will be considered when completing employee PMGs.

B. Employees may request to attach rebuttals to supervisor notes.

- When the supervisor purges the notes, all rebuttals relating to those notes will also be purged.

C. It is the employee's responsibility to maintain copies of pertinent career records.

Last Organizational Review: